

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Erlend Olson

Appl. No.: 09/665,581

Filed: September 18, 2000

For: **Direct Conversion Tuner**

Confirmation No.: 4715

Art Unit: 2685

Examiner: Nguyen, Duc M.

Atty. Docket: 1875.0160000

Fifth Supplemental Information Disclosure Statement

Commissioner for Patents

PO Box 1450

Alexandria, VA 22313-1450

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98. The numbering on this Third Supplemental Information Disclosure Statement is a continuation of the numbering in Applicant's Second Supplemental Information Disclosure Statement filed on February 4, 2004 in connection with the above-captioned application.

Where the publication date of a listed document does not provide a month of publication, the year of publication of the listed document is sufficiently earlier than the effective U.S. filing date and any foreign priority date so that the month of publication is not in issue. Applicant has listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

- 2 -

Erlend Olson
Appl. No. 09/665,581

Applicant reserves the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicant has checked the appropriate boxes below.

- ☐ 1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.
- ☒ 2. Filing under 37 C.F.R. § 1.97(b). This Information Disclosure Statement is being filed within three months of the date of filing of a national application other than a continued prosecution application (CPA), OR within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application, OR before the mailing date of a first Office Action on the merits OR before the mailing of a first Office Action after the filing of a request for continued examination under 37 C.F.R. § 1.114. No statement or fee is required.

- 3 -

Erlend Olson
Appl. No. 09/655,581

☐ 3. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.

☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).

☐ b. Statement under 37 C.F.R. § 1.97(c)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

☐ c. Attached is our PTO-2038 Credit Card Payment Form in the amount of \$_____ in payment of the fee under 37 C.F.R. § 1.17(p).

- 4 -

Erlend Olson
Appl. No. 09/665,581

☐ 4. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee. Enclosed find our PTO-2038 Credit Card Payment Form in the amount of \$ _____ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:

☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).

☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).

☐ 5. The document(s) was/were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office

- 5 -

Erlend Olson
Appl. No. 09/665,581

is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.

- ☐ 6. A concise explanation of the relevance of the non-English language document(s) appears below in accordance with 37 C.F.R. § 1.98(a)(3).
- ☒ 7. Copies of documents AT1, AR2 and AS2 are submitted. However, in accordance with 37 C.F.R. § 1.98(a)(2), no copies of U.S. patents and patent application publications cited on the attached Form PTO-1449 are submitted.
- ☐ 8. Copies of the documents were cited by or submitted to the Office in an IDS that complies with 37 C.F.R. § 1.98(a)-(c) in Application No. _____, filed _____, which is relied upon for an earlier filing date under 35 U.S.C. § 120. Thus, copies of these documents are not attached. 37 C.F.R. § 1.98(d).
- ☐ 9. It is expected that the examiner will review the prosecution and cited art in the parent application no(s). _____ in accordance with MPEP 2001.06(b), and indicate in the next communication from the office that the art cited in the earlier prosecution history has been reviewed in connection with the present application.

It is respectfully requested that the Examiner initial and return a copy of the enclosed Form PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

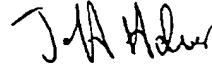
- 6 -

Erlend Olson
Appl. No. 09/665,581

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

Jeffrey T. Helvey
Attorney for Applicant
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361753_1.DOC

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|---|--------------------------------------|-------------------------------|
| FORM PTO-1449 SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT | ATTY. DOCKET NO. 1876.0160000 | APPLICATION NO. 09/666,681 |
| | FIRST NAMED INVENTOR Erlend Olson | |
| | FILING DATE September 18, 2000 | ART UNIT 2885 |
| | | |

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB- CLASS | FILING DATE |
|---------------------|-----|--------------------|---------|---------------|-------|---------------|-------------|
| | AA1 | | | | | | |
| | AB1 | | | | | | |
| | AC1 | | | | | | |
| | AD1 | | | | | | |
| | AE1 | | | | | | |
| | AF1 | | | | | | |
| | AG1 | | | | | | |
| | AH1 | | | | | | |
| | AI1 | 4,340,975 | 07/1982 | Onishi et al. | | | |
| | AJ1 | 5,200,826 | 01/1993 | Seong | | | |
| | AK1 | 5,737,035 | 04/1998 | Rotzoll | | | |

FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB- CLASS | TRANSLATION |
|---------------------|-----|--------------------|------|---------|-------|---------------|-------------|
| | AL1 | | | | | | Yes No |
| | AM1 | | | | | | Yes No |
| | AN1 | | | | | | Yes No |
| | AO1 | | | | | | Yes No |
| | AP1 | | | | | | Yes No |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

| | | | |
|--|----|---|---|
| | AR | 1 | |
| | AS | 1 | |
| | AT | 1 | Ducourant et al., "A 3 Chip G&As Double Conversion TV Tuner System With 70 dB Image Rejection," IEEE 1989 Microwave and Millimeter-Wave Monolithic Circuits Symposium, pages 87-90. |

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

| | | |
|---|--------------------------------------|-------------------------------|
| FORM PTO-1449 SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT | ATTY. DOCKET NO. 1675.0160000 | APPLICATION NO. 00/665,591 |
| | FIRST NAMED INVENTOR Erland Olson | |
| | FILING DATE September 10, 2000 | ART UNIT 2685 |
| | | |

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB-CLASS | FILING DATE |
|------------------|-----|-----------------|---------|----------|-------|-----------|-------------|
| | AA2 | 5,817,612 | 12/1998 | Birleson | | | |
| | AB2 | 6,163,684 | 12/2000 | Birleson | | | |
| | AC2 | | | | | | |
| | AD2 | | | | | | |
| | AE2 | | | | | | |
| | AF2 | | | | | | |
| | AG2 | | | | | | |
| | AH2 | | | | | | |
| | AI2 | | | | | | |
| | AJ2 | | | | | | |
| | AK2 | | | | | | |

FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL | | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB-CLASS | TRANSLATION |
|------------------|-----|-----------------|------|---------|-------|-----------|-------------|
| | AL2 | | | | | | Yes No |
| | AM2 | | | | | | Yes No |
| | AN2 | | | | | | Yes No |
| | AO2 | | | | | | Yes No |
| | AP2 | | | | | | Yes No |

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

| | | | |
|--|----|---|---|
| | AR | 2 | Farmer, "Specifications for Tuner Design for Use in Cable Ready Television Receivers and VCRs." <i>IEEE Transactions on Consumer Electronics</i> , Vol. 36, No. 3, August, 1990, pages 660-668. |
| | AS | 2 | Maas, "Microwave Mixers," Artech House, Copyright, 1986, pages 248-251. |
| | AT | 2 | |

EXAMINER

DATE CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.